

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Computer Aided Dispatch Replacement
Proj.

Assessment Date: March 08

Frequency: Quarterly

Oversight Provider Information

Oversight Leader: Lori Young

Organization: California Highway Patrol

Phone Number: 916-657-7171

Email: LYoung@chp.ca.gov

Project Information

Project Number: -272088

Department: California Highway Patrol

Criticality: Medium

Agency: Business, Transportation & Housi

Last Approved Document/Date: FSR – 5/11/06

Total One-time Cost: \$19,367,216

Start Date: 4/1/2006

End Date: 10/5/2010

Project Manager: Kristin Gray

Organization: Information Technology Section

Phone Number: 916-453-3839

Email: kgray@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement

Planned Start Date: 10/14/2006

Planned End Date: 7/14/2008

Actual Start Date: 10/14/2006

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: Six Request for Proposal (RFP) Addendums have been published in this reporting period with four containing RFP changes and two focused on responses to bidder questions only. Throughout the procurement process there have been a total of 15 Addendums issued and over 400 bidder questions answered. Two bidders requested a two week extension of the final proposal due date, which was granted by the California Highway Patrol (CHP). The new final proposal due date was pushed out from 03/17/2008 to 04/01/2008. That delay ripples through the schedule.

The Procurement Phase is currently one year behind schedule. The original FSR Procurement completion date was 7/13/07. Currently, the procurement completion date is projected to be 7/14/08.

New project risks have been identified by the project manager and are defined in this report.

The current version of the project schedule is attached to this report.

Resources (Level of Effort) Choose the statement that most closely applies.

Within Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: Due to the delays in the Procurement phase, the project is expected to push into the first quarter of fiscal year (FY) 2010/11 and thus, Project Management resources have been added to FY 2010/11.

Resources (Budget/Cost) Choose the statement that most closely applies.

Within Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: The costs required for the project are in-line (within 5% of the initial project estimates), however an increase of \$397,532 is required to replace the workstations being added as a result of approved staffing increases and an increase of \$4,875,000 is being added to replace the Mobile Digital Computer (MDC) software for 6000 field officers.

Eight revisions of the Special Project Report (SPR) were generated this quarter due to changes in funding sources from Department of Finance (DOF) to CHP, project delays pushing the funding into FY 2010/11 and additional funding for workstations and the MDC software as mentioned above. The total increased project costs as well as the additional FY impacts are included in the new Computer Aided Dispatch (CAD) SPR Version 9 currently routing for signatures.

In addition to the SPR Version 9, CHP has completed Section 11 application which was included in the SPR material.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: The client functionality has been developed and approved by the CAD Committee and the User's Group. The Committee and the User's Group are comprised of stakeholders impacted by the CAD modernization project. The RFP contains approximately 550 functional requirements and adequately defines the project deliverables that must be met by the vendor. Throughout the RFP process, some requirements have been refined as end users have provided input regarding the current CAD functionality or limitations. A few requirements have been downgraded from Mandatory to Desirable or removed if none of the bidders could meet the requirement.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments:

The RFP leaves the technical architecture to the vendor and, although the final system design is unknown at this time, several measures have been established in the RFP and the project plan to ensure that the final CAD delivery is a robust, stable and fully functional system. These measures are illustrated below.

First, shortly after the contract award, Joint Application Design sessions will be scheduled and will take place to ensure the 442 mandatory requirements and all of the winning vendor's desirable offerings are understood and designed thoroughly for CHP by the vendor.

Second, the CHP will review and approve the vendors Test Plan as well as their test scenarios and scripts to confirm that all of the CAD system requirements are thoroughly tested. If there are any test scenarios CHP would like to add or expand upon CHP will have an opportunity to present them to the vendor for inclusion in the Test Plan.

Third, once all of the CHP interfaces and the CAD customization have been completed, the RFP requires a full functionality test. This means that each of the 442 mandatory requirements and all of the winning vendor's desirable requirement offerings will be tested one by one to demonstrate that all are met in the CAD system prior to the Pilot Phase.

Finally, once representatives from the CAD Committee have executed the Functionality test, the CHP will authorize the Pilot phase to commence. The Pilot Phase will be a rollout of the CAD system at the Sacramento Communication Center. The Pilot Phase includes the preparation of the site for production including but not limited to: the training of all end users, the deployment of all hardware, the loading of all appropriate reference table data, etc. The project will remain in the Pilot Phase until the CAD system has been operational without significant errors for 21 business days and only then will CHP authorize the statewide rollout to the remaining Communication Centers and training facilities.

New Project Risks

A Project Risk Status Meeting was held on March 24, 2008. Fifteen of the 47 risks were upgraded to High/Medium or Medium/High classification. Five risks will be monitored on a regular basis and are listed below. The entire Risk Issue Tracking Matrix is attached to this report for reference.

Existing Risks which were not present on previous IPORs have been inserted as "New Project Risks" below.

Identifier: 005 **Risk Statement:** Project funding Special Project Report (SPR) is denied.

Status: CHP would attempt to fund the entire project. To effect this change, CHP would slow down the rollout to spread out over another fiscal year which increases the risk of the current system failing and/or CHP would reduce the scope/cost of the project overall.

Identifier: 015 **Risk Statement:** Problems Integrating with IWS (Intelligent Workstations) (Verizon/Plant)

Status: The CAD Project Manager plans to attend the next meeting with Verizon and Plant to present the expectation that the VESTA and the CAD must interface and that the two should reside on the same workstation. If the CAD and VESTA software cannot reside on one workstation due to a lack of vendor support, the alternative solution is to leave the CAD and the VESTA on their own workstations just as the CAD GUI and VESTA are set up today but the interface between the VESTA and the new CAD will remain a requirement.

Identifier: 003 **Risk Statement:** CHP Operational demands on critical staff

Status: CHP workload will be reassessed, prioritized and balanced in order to ensure that CAD dependency work stays on schedule.

Identifier: 022 **Risk Statement:** Restrictions on consultant hiring

Status: New CAD dependency projects were established to prioritize and track all work which will impact the CAD project and to ensure the existing resources can complete this work.

Progress toward Addressing Prior Risks

Identifier: 011 **Risk Statement:** Excessive amendments during the Request For Proposal (RFP) process/Procurement Phase – Extensive amendments lead to revising the due dates, thus delaying the selection and award and therefore the overall project.

Status: Additional questions and issues have been submitted by bidders and are being responded to by CHP. These are the last round prior to final bids due on April 1, 2008 and award of the contract.

General Comments

During this reporting period, the RFP process has continued with the receipt and response to questions submitted by the bidders (Question & Answer Sets 5, 6 & 7). Four RFP addendums were released offering requirement clarifications as a result of the bidder written questions. The final proposal due date was delayed twice as a result of numerous bidder questions and the RFP clarifications. Additional information was placed in the Procurement Library (e.g., Communication Center circuit/Router listing) to assist bidders in their understanding of the current CHP environment.

The additional addendums resulted in a further delay in the procurement phase, extending the due date of the final proposals to April 1, 2008 and contract award in July, 2008.

The SPR Version 9 and Section 11 Version 5 are under executive review and should be forwarded to DOF during the next quarter to detail the changes in cost and timeframes for the project, as discussed in the previous section.

The Department of General Services (DGS) Procurement Officer assigned to the CAD procurement has been intermittently available and will retire during the proposal evaluation process. Transitional issues may arise as the new DGS Procurement Officer acclimates to the project.

Other aspects of the project continue to remain within expected parameters.

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Computer Aided Dispatch Replacement
Proj. _____

Assessment Date: June 08

Frequency: Quarterly

Oversight Provider Information

Oversight Leader: Lori Young

Organization: California Highway Patrol

Phone Number: 916-657-7171

Email: LYoung@chp.ca.gov

Project Information

Project Number: -272088

Department: California Highway Patrol

Criticality: Medium

Agency: Business, Transportation & Housi

Last Approved Document/Date: FSR – 5/11/06

Total One-time Cost: \$19,367,216

Start Date: 4/1/2006

End Date: 10/5/2010

Project Manager: Kristin Gray

Organization: Information Technology Section

Phone Number: 916-453-3839

Email: kgray@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement

Planned Start Date: 10/14/2006

Planned End Date: 7/14/2007

Actual Start Date: 10/14/2006

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: Final proposals were received on April 1, 2008. The Computer Aided Dispatch (CAD) Proposal Review Team began bid reviews on April 2, 2008. The current published schedule calls for the Public Cost Opening were held on May 20, 2008, however additional time was needed for bid reviews and for Department of General Services (DGS) to respond to a question regarding one of the bids. The bidders were notified via email by the DGS Procurement officer that the Cost Opening would occur at a later date and more details were to follow. There have been no Request For Proposal Addendums this reporting period since this bidder notification was via email.

The DGS Procurement Officer informed CHP that the item under advisement was a non-issue and the procurement phase resumed. Subsequently, CHP submitted the Preliminary Evaluation and Selection Report to DGS for review on June 12, 2008. The DGS requested three weeks to review the Evaluation and Selection Report which will delay the Public Cost Opening until early July, 2008. Once the new Cost Opening date is confirmed, the project timeline will be updated and distributed.

The Procurement Phase is currently one year behind schedule. The original Feasibility Study Report (FSR) Procurement completion date was July 13, 2007. Currently, the Procurement completion date is projected to be July 14, 2008, however, this date is expected to change due to the Public Cost Opening delay.

The current version (v22) of the project schedule is attached to this report.

Resources (Level of Effort) Choose the statement that most closely applies.

Within Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: The CAD proposal review team participated in the bid evaluations, prepared and submitted the Preliminary Evaluation and Selection Report to DGS this reporting period. These resources were within the expected project parameters.

Resources (Budget/Cost) Choose the statement that most closely applies.

Within Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: CAD vendor funds were not spent in this quarter as expected, however, due to the delays in the Procurement Phase, the contract award date is expected to delay another eight to ten weeks. As a result, project costs have been deferred to FY 2010/11. Overall, the costs required for the project are in-line (with-in 5% of the initial project estimates).

Version 10 of the Special Project Report (SPR) for additional funding is routing through CHP for approval and is expected to be forwarded to the Department of the State Chief Information Officer within the next quarter. The SPR includes an increase of \$397,532 required to replace the workstations being added as a result of approved staffing increases and an increase of \$4,875,000 to replace the Mobile Digital Computer (MDC) software for 6,000 field officers.

A Budget Change Proposal has been drafted to fund the New CAD Project beginning in FY 2009-10 and is currently under review.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: The CAD proposal review team evaluated the submitted bids and through this review validated that the Request For Proposal (RFP) requirements adequately define CHP's functionality needs and that the CAD vendor community can meet these needs.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments:

CAD proposal review team confirmed that CHP's architectural needs, as well as the client functionality referenced above, can be met by the CAD vendor community based on the bid reviews conducted during this reporting period. In order to ensure that the final CAD delivery is a robust, stable and fully functional system, the CAD Proposal team has built into the RFP the following quality assurance measures.

First, shortly after the contract award, joint application design sessions will take place to ensure the 442 mandatory requirements and all of the winning vendor's desirable offerings are understood and designed thoroughly for CHP by the vendor.

Second, the CHP will review and approve the vendors test plan as well their test scenarios and scripts to confirm that all of the CAD system requirements will be thoroughly tested. If there are any test scenarios CHP would like to add or expand upon CHP will have an opportunity to present them to the vendor for inclusion in the Test Plan.

Third, once all of the CHP interfaces and the CAD customization have been completed, the RFP requires a full functionality test. This means that each of the 442 mandatory requirements and all of the winning vendor's desirable requirement offerings will be tested one by one to demonstrate that all are met in the CAD system prior to the Pilot Phase.

Finally, once representatives from the CAD Committee have executed the Functionality test, the CHP will authorize the Pilot Phase to commence. The Pilot Phase is the rollout of the CAD system at the Sacramento Communication Center. The Pilot Phase includes the preparation of the site for production including but not limited to: the training of all end users, the deployment of all hardware, the loading of all appropriate reference table data, etc. The project will remain in the Pilot Phase until the CAD system has been operational without significant errors for 21 business days and only then will CHP authorize the statewide rollout to the remaining Communication Centers and training facilities.

New Project Risks

Identifier: 044 **Risk Statement:** Mobile Digital Computers (MDCs) – PCs in vehicles might become too old to house the Vendor MDC software under their Maintenance Agreement

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until the vehicle PCs are updated and then implement the Vendor MDC software.

Identifier: 045 **Risk Statement:** MDC Officer Training is more complex, difficult for Officers to adapt.

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until comprehensive Officer training is completed in the field and then implement the Vendor MDC software.

Identifier: 047 **Risk Statement:** CHP internally written MDC Interface isn't ready or has issues

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
CAD project must delay until the Officers can be trained on the Vendor COTS MDC software.

Identifier: 004 **Risk Statement:** New GIS spatial data library not available for selected vendor

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Fill all open GIS positions, obtain a student assistant and plan/track all GIS activities.

Progress toward Addressing Prior Risks

Identifier: 005 **Risk Statement:** Project funding Special Project Report (SPR) is denied.

Status: CHP would attempt to fund the entire project. To effect this change, CHP would slow down the rollout to spread out over another fiscal year which increases the risk of the current system failing and/or CHP would reduce the scope/cost of the project overall.

Identifier: 015 **Risk Statement:** Problems Integrating with IWS (Intelligent Workstations) (Verizon/Plant)

Status: The CAD Project Manager plans to attend the next meeting with Verizon and Plant to present the expectation that the VESTA and the CAD must interface and that the two should reside on the same workstation. If the CAD and VESTA software cannot reside on one workstation due to a lack of vendor support, the alternative solution is to leave the CAD and the VESTA on their own workstations just as the CAD GUI and VESTA are set up today but the interface between the VESTA and the new CAD will remain a requirement.

Identifier: 003 **Risk Statement:** CHP Operational demands on critical staff

Status: CHP workload will be reassessed, prioritized and balanced in order to ensure that CAD dependency work stays on schedule.

Identifier: 022 **Risk Statement:** Restrictions on consultant hiring

Status: New CAD dependency projects were established to prioritize and track all work which will impact the CAD project and to ensure the existing resources can complete this work.

Identifier: 011 **Risk Statement:** Excessive amendments during the Request For Proposal (RFP) process/Procurement Phase – Extensive amendments lead to revising the due dates, thus delaying the selection and award and therefore the overall project.

Status: Additional questions and issues have been submitted by bidders and are being responded to by CHP. These are the last round prior to final bids due on April 1, 2008 and award of the contract.

On June 9, 2008, a meeting was held to discuss each of the project's risks. Consistent with probability, Impact, and Timeframe rating methodology, the risks above were reevaluated. The risks previously reported 1st Quarter IPOR require no further reporting. The entire Risk Issue Tracking Matrix is attached to this report for reference.

General Comments

During this reporting period, the procurement process continued with the receipt and evaluation of bidder proposals and a recommendation provided to DGS for consideration. While DGS reviews the Preliminary Evaluation and Selection Report, the Public Cost Opening will be scheduled to occur in July 2008.

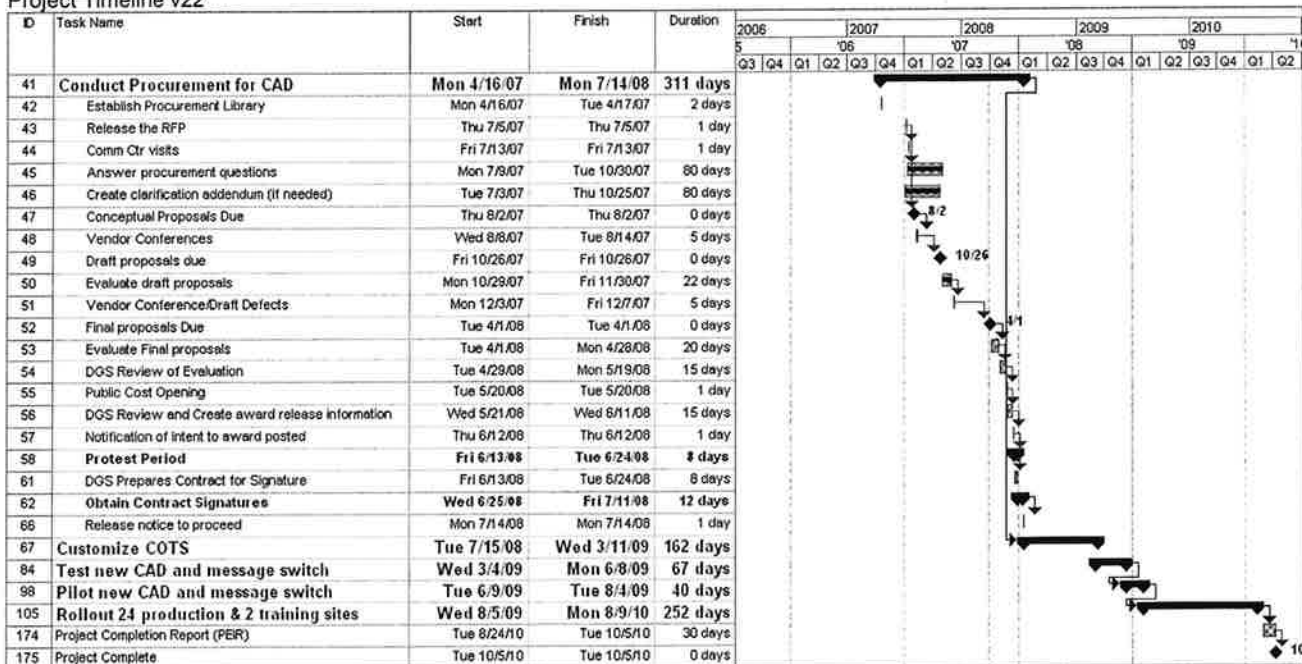
The DGS assigned a new Procurement Officer (PO), Debbie Dykes (debra.dykes@dgs.ca.gov) to the New CAD project to replace the former PO who has since retired. It is anticipated that transitional issues may arise as the new DGS Procurement Officer acclimates to the project.

Next quarter, the Special Project Report (SPR) Version 10 which is currently under executive review, should be forwarded to Office of the State CIO. The SPR will detail the changes in cost and timeframes for the project, as discussed in the "Schedule" section.

Other aspects of the project continue to remain within expected parameters.

Attachments:
Risk Matrix

Project Timeline v22



Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Computer Aided Dispatch Replacement
Proj.

Assessment Date: September 08

Frequency: Quarterly

Oversight Provider Information

Oversight Leader: Evan L. Robinson

Organization: California Highway Patrol

Phone Number: 916-657-7171

Email: ERobinson@chp.ca.gov

Project Information

Project Number: 2720 - 88

Department: California Highway Patrol

Criticality: Medium

Agency: Business, Transportation & Housi

Last Approved Document/Date: FSR – 5/11/06

Total One-time Cost: \$19,367,216

Start Date: 4/1/2006

End Date: 10/5/2010

Project Manager: Kristin Gray

Organization: Information Technology Section

Phone Number: 916-453-3839

Email: kgray@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement

Planned Start Date: 10/14/2006

Planned End Date: 7/14/2007

Actual Start Date: 10/14/2006

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: The Procurement Phase is currently 16 months behind schedule. The computer Aided Dispatch (CAD) Replacement Request for Proposal (RFP) was published in July 2007 which was seven months behind schedule due to RFP modifications and additional time needed by the Department of General Services (DGS) review. Over the subsequent months, bidders submitted approximately 400 questions which were answered by the CHP and the DGS as well as the release of seven RFP Addendums to provide additional clarification to the RFP requirements. The time needed to respond and publish the Questions and Answers and the RFP Addendums resulted in a four month delay of the final proposal due date previously scheduled for November 29, 2007 to April 1, 2008.

Also, CHP made the determination to add scope to the RFP to address the need to replace the Mobile Digital Computers (MDCs) Software in CHP vehicles as well as add 116 workstations for approved Communication Center staffing increases. Development of a Special Project Report (SPR) began in July 2007 to address these two areas.

Final proposals were received on April 1, 2008. One month was projected to evaluate the final proposals and prepare the preliminary "Evaluation and Selection Report", yet the proposal reviews took six weeks to complete and an additional four weeks the DGS needed to review the preliminary "Evaluation and Selection Report". This additional two months placed the Public Cost Opening on June 30, 2008.

The preliminary "Proposal Evaluation and Selection Report" was approved by the DGS allowing the Public Cost Opening to occur on June 30, 2008. The costs were opened for the only compliant bid. The costs were higher than the Feasibility Study Report (FSR) estimates and thus, the existing SPR was revised to outline the additional funds (for the MDCs, additional workstations and the bidder's cost proposal) needed to move forward with the "Intent to Award". These additional costs are outlined in the "Cost" section below.

Three months have been added to the SPR schedule to allow enough time for the SPR to route through CHP and the Office of the State Chief Information Officer. Once the SPR is approved, the DGS requests three weeks to review and approve the final "Proposal Evaluation and Selection Report".

A memorandum to DGS has been drafted requesting negotiations with the bidder to reduce costs. Members of the CAD Committee are reviewing the "Desirable" RFP requirements to identify areas of potential scope reduction in order to reduce the cost of the configuration. The amount of time needed to conduct these negotiations is not reflected in the project timeline. The DGS Procurement Officer has arranged with the compliant bidder to extend the bid 90 days to allow enough time for bidder negotiations, the SPR approval and to complete the "Intent to Award".

The new projected "Intent to Award" date is now October 31, 2008, yet as state above, this is expected to change to allow for the bidder negotiations.

Resources (Level of Effort) Choose the statement that most closely applies.

More Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: The scheduling delays described above in the "Schedule" section result in the need to add project resources into FY2011/12. The FSR Economic Analysis Worksheets (EAWs) list these resources rolling off of the project in FY2009/10.

Resources (Budget/Cost) Choose the statement that most closely applies.

Higher Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: As stated in the 'Schedule' section above, one compliant bid emerged from the bid evaluations. The highest scoring bidder's cost proposal is higher than the approved FSR. The SPR for the additional funds must be approved prior to the contract execution. The accumulated delays have caused a change in the fiscal year impact of the project, significantly reducing the FY 2009/10 expenditures and increasing the FY 2010/11 expenditures and adding project costs to FY 2011/12.

The RFP process has moved forward including the Public Cost Opening on June 30, 2008. The costs of the highest scoring bidder were higher than the FSR amounts approved and thus, additional funds are needed to fund this project. The costs were higher because:

A. Inflation has affected the overall costs from the FSR at least 15%.

B. A new requirement for upgrading the MDC to link the 6,000 field officers directly with the CAD system. The highest scoring bidder's cost of software was considerably higher than expected due to the cost of customizing the commercial off the shelf CAD solution to meet the needs of CHP specific requirements. Additionally, the highest scoring bidder includes the cost of the MDC software in their base CAD, so the software costs include the cost of MDC client software as well.

C. The CHP communications centers have been authorized to increase staff. To accommodate the increased staff, additional workstations must be provided to support these new dispatchers. This has led to requiring the new contract to provide another 116 workstations above the original 500 projected in the FSR.

D. Training requirements grew during the procurement to better meet the needs of CHP. With the enhanced training requirements, the CHP personnel will be better prepared to use the new system and the transition to the new system will have fewer issues.

The specific impact of this change is to recognize the reality of the schedule delay by nine months and the resultant change in the final implementation date. The financial impact, as delineated in the updated EAWs, shows a significant shift of funds required into the appropriate years; and the increase in those funds for the delays in the project, additional workstations, the MDC software upgrade for all field officers, and the additional software costs.

A BCP has been drafted to fund the New CAD Project beginning in FY 2009/10 and is currently under review.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: The CAD Proposal Review team comprised of members of the CAD System Administrator team, Dispatchers and Dispatch Supervisors, evaluated the submitted bids and through this review validated that the RFP requirements adequately define CHP's functionality needs and that the CAD vendor community can meet these needs.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments:

The CAD Proposal Review team confirmed that CHP's architectural needs, as well as the client functionality referenced above, can be met by the CAD vendor community based on the bid reviews conducted during last reporting period. In order to ensure that the final CAD delivery is a robust, stable and fully functional system, the CAD Proposal team has built into the RFP the following quality assurance measures, the first of which is expected to occur next quarter.

First, shortly after the contract award, Joint Application Design sessions will take place to ensure the 442 mandatory requirements and all of the winning vendor's desirable offerings are understood and designed thoroughly for CHP by the vendor.

Second, the CHP will review and approve the vendors Test Plan as well their test scenarios and scripts to confirm that all of the CAD system requirements will be thoroughly tested. If there are any test scenarios CHP would like to add or expand upon CHP will have an opportunity to present them to the vendor for inclusion in the test plan.

Third, once all of the CHP interfaces and the CAD customization have been completed, the RFP requires a full functionality test. This means that each of the 442 mandatory requirements and all of the winning vendor's desirable requirement offerings will be tested one by one to demonstrate that all are met in the CAD system prior to the Pilot Phase.

Finally, once representatives from the CAD Committee have executed the functionality test, the CHP will authorize the Pilot Phase to commence. The Pilot Phase is the rollout of the CAD system at the Sacramento Communications Center. The Pilot Phase includes the preparation of the site for production including but not limited to: the training of all end users, the deployment of all hardware, the loading of all appropriate reference table data, etc. The project will remain in the Pilot Phase until the CAD system has been operational without significant errors for 21 business days and only then will CHP authorize the statewide rollout to the remaining Communications Centers and training facilities.

New Project Risks

Any project risk with an **Impact** score of "High" or "Medium" combined with a **Probability** score of "High" or "Medium" will be reported and monitored on a regular basis. A Project Risk Status Meeting was held on June 9, 2008 to discuss each of the project's 46 project risks resulting in 12 risks classified as "Regularly Monitor". There are no risks that were identified as High/High. Below are risks that are classified as High (Impact)/Medium (Probability). The entire Risk Issue Tracking Matrix is attached to this report for reference.

There are no New Risks this reporting period.

The third quarter Risk Status Meeting was cancelled and will be rescheduled in the fourth quarter.

Progress toward Addressing Prior Risks

Identifier:

044 **Risk Statement:** MDCs in vehicles might become too old to house the Vendor MDC software under their Maintenance Agreement

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until the vehicle PCs are updated and then implement the vendor MDC software.

Identifier:

045 **Risk Statement:** MDC Officer Training is more complex, difficult for Officers to adapt.

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until comprehensive Officer training is completed in the field and then implement the Vendor MDC software.

Identifier:

047 **Risk Statement:** CHP internally written MDC Interface isn't ready or has issues

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
CAD project must delay until the Officers can be trained on the Vendor COTS MDC software.

Identifier:

004 **Risk Statement:** New GIS spatial data library not available for selected vendor

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Fill all open GIS positions and plan/track all GIS activities. However, due to the delayed State Budget and the subsequent hiring freeze, the risk of this item has increased.

General Comments

During this reporting period, the procurement process continued with the Public Cost Opening on June, 30 2008 and the subsequent revisions to the Special Project Report (SPR) outlining the additional funds needed.

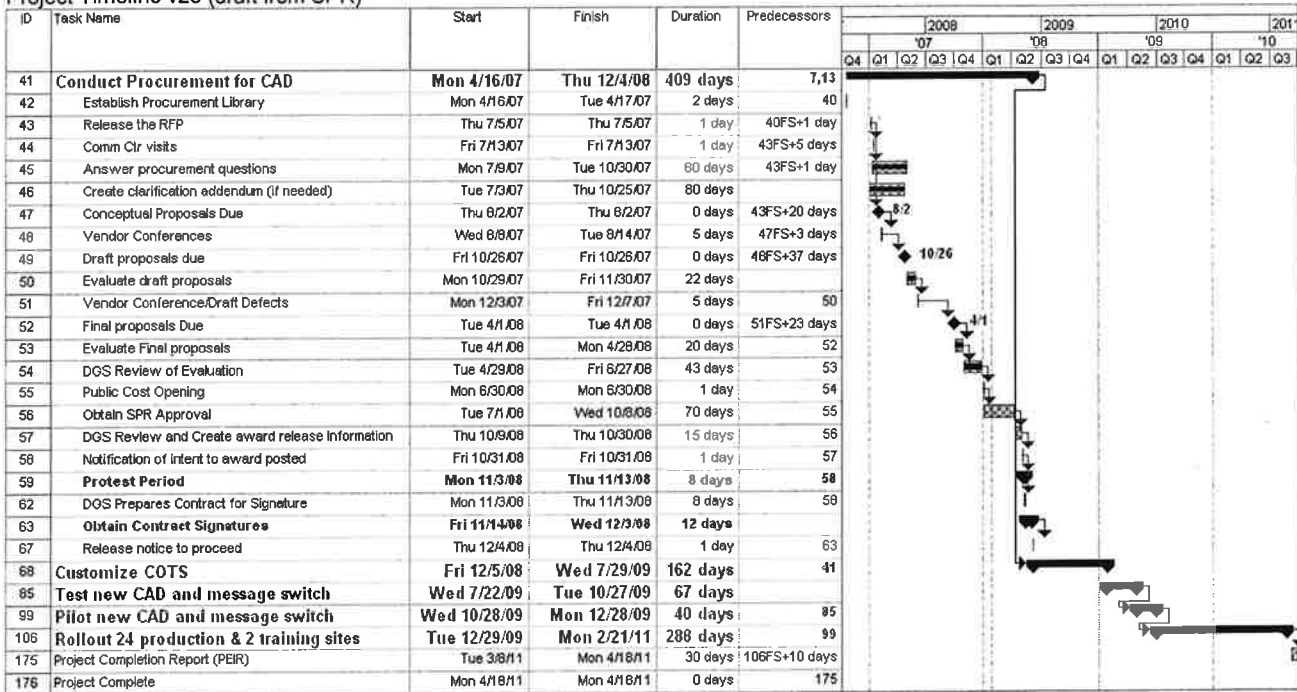
The SPR Version 11 is under executive review and should be forwarded to Office of the State CIO during the fourth quarter to detail the changes in cost and timeframes for the project, as discussed in the "Schedule" section.

Other aspects of the project continue to remain within expected parameters.

Attachments:

Risk Matrix

Project Timeline v25 (draft from SPR)



Project Risk Matrix



I:\DEEPdocs\DEEP
Program\New CAD Pr

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Computer Aided Dispatch Replacement
Proj.

Assessment Date: December 08

Frequency: Quarterly

Oversight Provider Information

Oversight Leader: Evan L. Robinson

Organization: California Highway Patrol

Phone Number: 916-657-7171

Email: ERobinson@chp.ca.gov

Project Information

Project Number: 2720 - 88

Department: California Highway Patrol

Criticality: Medium

Agency: Business, Transportation & Housi

Last Approved Document/Date: FSR – 5/11/06

Total One-time Cost: \$19,367,216

Start Date: 4/1/2006

End Date: 10/5/2010

Project Manager: Kristin Gray

Organization: Information Technology Section

Phone Number: 916-453-3839

Email: kgray@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement

Planned Start Date: 10/14/2006

Planned End Date: 7/14/2007

Actual Start Date: 10/14/2006

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: The Procurement Phase is currently 19 months behind schedule. The computer Aided Dispatch (CAD) Replacement Request for Proposal (RFP) was published in July 2007 which was seven months behind schedule due to RFP modifications and additional time needed for the Department of General Services (DGS) review. Over the subsequent months, bidders submitted approximately 400 questions which were answered by the CHP and the DGS as well as the release of seven RFP Addendums to provide additional clarification to the RFP requirements. The time needed to respond and publish the Questions and Answers and the RFP Addendums resulted in a four month delay of the final proposal due date previously scheduled for November 29, 2007 to April 1, 2008.

Also, CHP made the determination to add scope to the RFP to address the need to replace the Mobile Digital Computers (MDCs) Software in CHP vehicles as well as add 116 workstations for approved Communication Center staffing increases. Development of a Special Project Report (SPR) began in July 2007 to address these two areas.

Final proposals were received on April 1, 2008. One month was projected to evaluate the final proposals and prepare the preliminary "Evaluation and Selection Report", yet the proposal reviews took six weeks to complete and an additional four weeks DGS needed to review the preliminary "Evaluation and Selection Report". This additional two months placed the Public Cost Opening on June 30, 2008.

The preliminary "Proposal Evaluation and Selection Report" was approved by DGS allowing the Public Cost Opening to occur on June 30, 2008. The costs were opened for the only compliant bid. The costs were higher than the Feasibility Study Report (FSR) estimates and thus, the existing SPR was revised to outline the additional funds (for the MDCs, additional workstations and the bidder's cost proposal) needed to move forward with the "Intent to Award". These additional costs are outlined in the "Cost" section below.

Three months have been added to the project schedule to allow enough time for the SPR to route through CHP and the Office of the State Chief Information Officer (OCIO). Meanwhile, the final version of the "Proposal Evaluation and Selection Report" was forwarded to DGS for approval. However, the DGS Office of Legal Services (OLS) will not review this report until the SPR is approved. Once the SPR is approved, DGS requests three weeks to review and approve the final "Proposal Evaluation and Selection Report".

In September, a memorandum to DGS was sent requesting negotiations with the compliant bidder to reduce costs. Members of the CAD Committee have reviewed the "Desirable" RFP requirements to identify areas of potential scope reduction in order to reduce the cost of the configuration. The amount of time needed to conduct these negotiations is not reflected in the project timeline. The DGS Procurement Officer had arranged with the compliant bidder to extend the offer in order to allow enough time for bidder negotiations, the SPR approval and to complete the "Intent to Award". The bidder's offer was extended until December 27, 2008, however, due to delays in the procurement process, a second bid extension was secured by DGS Procurement and the offer is now valid until June 2009.

Comments: Schedule (continued):

In preparation for the bidder negotiations, CHP completed the DGS Template "Negotiation Planner" considering many areas for potential cost saving. The Negotiation Plan was sent to DGS on December 2, 2008. DGS began review of the Final Evaluation and Selection Report. Once completed, DGS will send the report to DGS OLS for their review. The DGS OLS unit approved the CHP New CAD Negotiation Plan and the negotiations are scheduled for April 2009. Once the negotiations conclude and all parties agree on the contract scope and price, DGS will prepare the "Intent to Award".

The revised "Intent to Award" date was October 31, 2008, yet as state above, due to delays timelines will change.

Resources (Level of Effort) Choose the statement that most closely applies.

More Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: The scheduling delays described above in the "Schedule" section result in the need to add project resources into FY2011/12. The FSR Economic Analysis Worksheets (EAWs) list these resources rolling off of the project in FY2011/12.

Resources (Budget/Cost) Choose the statement that most closely applies.

Higher Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: As stated in the "Schedule" section above, one compliant bid emerged from the bid evaluations. The only compliant bidder's cost proposal is higher than the approved FSR. The SPR for the additional funds must be approved prior to the contract execution. The accumulated delays have caused a change in the fiscal year impact of the project, significantly reducing the FY 2009/10 expenditures and increasing the FY 2010/11 expenditures and adding project costs to FY 2011/12.

The RFP process has moved forward including the Public Cost Opening on June 30, 2008. The costs of the only compliant bidder were higher than the FSR amounts approved and thus, additional funds are needed to fund this project. The costs were higher because:

A. Inflation has affected the overall costs from the FSR at least 15%.

B. A new requirement for upgrading the MDC to link the 6,000 field officers directly with the CAD system. The only compliant bidder's cost of software was considerably higher than expected due to the cost of customizing the commercial off the shelf CAD solution to meet the needs of CHP specific requirements. Additionally, the only compliant bidder includes the cost of the MDC software in their base CAD, so the software costs include the cost of MDC client software as well.

C. The CHP communications centers have been authorized to increase staff. To accommodate the increased staff, additional workstations must be provided to support these new dispatchers. This has led to requiring the new contract to provide another 116 workstations above the original 500 projected in the FSR.

D. Training requirements grew during the procurement to better meet the needs of CHP. With the enhanced training requirements, the CHP personnel will be better prepared to use the new system and the transition to the new system will have fewer issues.

The specific impact of this change is to recognize the reality of the schedule delay by nine months and the resultant change in the final implementation date. The financial impact, as delineated in the updated EAWs, shows a significant shift of funds required into the appropriate years; and the increase in those funds for the delays in the project, additional workstations, the MDC software upgrade for all field officers, and the additional software costs.

A BCP has been forwarded to the Department of Finance to fund the New CAD Project beginning in FY 2009/10 and is currently under review.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: The CAD Proposal Review team comprised of members of the CAD System Administrator team, Dispatchers and Dispatch Supervisors, evaluated the submitted bids and through this review validated that the RFP requirements adequately define CHP's functionality needs and that the CAD vendor community can meet these needs.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments:

The CAD Proposal Review team confirmed that CHP's architectural needs, as well as the client functionality referenced above, can be met by the CAD vendor community based on the bid reviews conducted during the last reporting period. In order to ensure that the final CAD delivery is a robust, stable and fully functional system, the CAD Proposal team has built into the RFP the following quality assurance measures, the first of which is expected to occur next quarter.

First, shortly after the contract award, Joint Application Design sessions will take place to ensure the 442 mandatory requirements and all of the winning vendor's desirable offerings are understood and designed thoroughly for CHP by the vendor.

Second, the CHP will review and approve the vendors Test Plan as well their test scenarios and scripts to confirm that all of the CAD system requirements will be thoroughly tested. If there are any test scenarios CHP would like to add or expand upon CHP will have an opportunity to present them to the vendor for inclusion in the test plan.

Third, once all of the CHP interfaces and the CAD customization have been completed, the RFP requires a full functionality test. This means that each of the 442 mandatory requirements and all of the winning vendor's desirable requirement offerings will be tested one by one to demonstrate that all are met in the CAD system prior to the Pilot Phase.

Finally, once representatives from the CAD Committee have executed the functionality test, the CHP will authorize the Pilot Phase to commence. The Pilot Phase is the rollout of the CAD system at the Sacramento Communications Center. The Pilot Phase includes the preparation of the site for production including but not limited to: the training of all end users, the deployment of all hardware, the loading of all appropriate reference table data, etc. The project will remain in the Pilot Phase until the CAD system has been operational without significant errors for 21 business days and only then will CHP authorize the statewide rollout to the remaining Communications Centers and training facilities.

As mentioned in the Schedule section, negotiations will take place in the next reporting period, possibly leading to an overall reduction in project scope and cost.

New Project Risks

Any project risk with an **Impact** score of "High" or "Medium" combined with a **Probability** score of "High" or "Medium" will be reported and monitored on a regular basis. A Project Risk Status Meeting was held on November 3, 2008 to discuss each of the project's 46 project risks resulting in 10 risks classified as "Regularly Monitor". There is one risk that was identified as High/High. Below are risks that are classified as High (Impact)/High (Probability). High (Impact)/Medium (Probability). The entire Risk Issue Tracking Matrix is attached to this report for reference.

There are no New Risks this reporting period.

The third quarter Risk Status Meeting was cancelled and will be rescheduled in the fourth quarter.

Progress toward Addressing Prior Risks

Identifier:

003 Risk Statement: CHP Operational demands on critical staff. Workload is to be assessed, prioritized, and balanced in order to ensure that CAD dependency work stays on schedule.

Status: CHP workload to be assessed, prioritized and balanced (shift resources, etc.) in order to ensure that CAD dependency work stays on schedule

Identifier:

044 Risk Statement: MDCs in vehicles might become too old to house the Vendor MDC software under their Maintenance Agreement

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until the vehicle PCs are updated and then implement the vendor MDC software.

Identifier:

045 Risk Statement: MDC Officer Training is more complex, difficult for Officers to adapt.

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until comprehensive Officer training is completed in the field and then implement the Vendor MDC software.

Identifier:

047 Risk Statement: CHP internally written MDC Interface isn't ready or has issues

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
CAD project must delay until the Officers can be trained on the Vendor COTS MDC software.

Identifier:

004 Risk Statement: New GIS spatial data library not available for selected vendor

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Fill all open GIS positions and plan/track all GIS activities. However, due to the delayed State Budget and the subsequent hiring freeze, the risk of this item has increased.

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Computer Aided Dispatch Replacement
Proj. _____

Assessment Date: April 09

Frequency: Quarterly

Oversight Provider Information

Oversight Leader: Evan L. Robinson

Organization: California Highway Patrol

Phone Number: 916-657-7171

Email: ERobinson@chp.ca.gov

Project Information

Project Number: 2720 - 88

Department: California Highway Patrol

Criticality: Medium

Agency: Business, Transportation & Housi

Last Approved Document/Date: FSR – 5/11/06

Total One-time Cost: \$19,367,216

Start Date: 4/1/2006

End Date: 10/5/2010

Project Manager: Kristin Gray

Organization: Information Technology Section

Phone Number: 916-453-3839

Email: kgray@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement

Planned Start Date: 10/14/2006

Planned End Date: 7/14/2007

Actual Start Date: 10/14/2006

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: The Procurement Phase is currently 21 months behind schedule based on the timeline from the approved FSR which listed the Procurement Completion date as July 13, 2007. This delay includes a delay to release the Computer Aided Dispatch (CAD) Replacement Request for Proposal (RFP) which was published in July 2007 seven months behind schedule due to RFP modifications and additional time needed for the Department of General Services (DGS) review.

Over the subsequent months, bidders submitted approximately 400 questions which were answered by the CHP and DGS as well as the release of seven RFP Addendums to provide additional clarification to the RFP requirements. The time needed to respond and publish the Questions and Answers and the RFP Addendums resulted in a delay of the final proposal due date originally scheduled for May 16, 2007 to April 1, 2008.

Also, CHP made the determination to add scope to the RFP to address the need to replace the Mobile Digital Computers (MDCs) Software in CHP vehicles as well as add 116 workstations for approved Communication Center staffing increases. Thus, while the procurement phase continued, development of a Special Project Report (SPR) began in July 2007 to address these two areas.

Final proposals were received on April 1, 2008. One month was projected to evaluate the final proposals and prepare the preliminary "Evaluation and Selection Report", yet the proposal reviews took six weeks to complete and an additional four weeks DGS needed to review the preliminary "Evaluation and Selection Report". This additional two months placed the Public Cost Opening on June 30, 2008.

The preliminary "Proposal Evaluation and Selection Report" was approved by DGS allowing the Public Cost Opening to occur on June 30, 2008. The costs were opened for the only compliant bid. The costs were higher than the Feasibility Study Report (FSR) estimates and thus, the existing SPR was revised to outline the additional funds (for the MDCs, additional workstations and the bidder's cost proposal) needed to move forward with the "Intent to Award". These additional costs are outlined in the "Cost" section below. However, since CHP plans to enter into negotiations with the compliant bidder, the SPR will need to be revised with the negotiated costs.

The final version of the "Proposal Evaluation and Selection Report" was forwarded to DGS for approval. However, the DGS Office of Legal Services (OLS) will not review this report until the SPR is approved. Once the SPR is approved, DGS requests three weeks to review and approve the final "Proposal Evaluation and Selection Report".

Comments: **Schedule (continued):**

On September 17, 2008, a memorandum to DGS was sent requesting negotiations with the compliant bidder to reduce costs. Members of the CAD Committee have reviewed the "Desirable" RFP requirements to identify areas of potential scope reduction in order to reduce the cost of the configuration. The amount of time needed to conduct these negotiations is not reflected in the project timeline. The DGS Procurement Officer had arranged with the compliant bidder to extend the offer in order to allow enough time for bidder negotiations, the SPR approval and to complete the "Intent to Award". The bidder's offer was extended until December 27, 2008, however, due to delays in the procurement process, a second bid extension was secured by DGS Procurement and the offer is now valid until June 2009.

In preparation for the bidder negotiations, CHP completed the DGS Template "Negotiation Planner" considering many areas for potential cost saving. The Negotiation Plan was sent to DGS on December 2, 2008. On March 18th the DGS OLS unit approved the CHP New CAD Negotiation Plan and drafted a letter approving the negotiations. DGS will not schedule negotiations until the approval letter is signed by the DGS Director and as of March 31st, CHP has not been made aware if this letter has been signed. If the approval letter is signed in early April, DGS will attempt to schedule the negotiations as soon as possible. Once the negotiations conclude and all parties agree on the contract scope and price, DGS will prepare the "Intent to Award" and the contract. Additionally, the DGS Procurement Officer (PO) began a fourth review of the Final Evaluation and Selection Report. Once completed, DGS will send the report to DGS OLS for their review.

The revised "Intent to Award" date was October 31, 2008 and is now five months behind the October target date.

At this point in the project, one new major risk has been identified:

1. The bid could be cancelled due to continued delays by DGS to finish the procurement.

Resources (Level of Effort) Choose the statement that most closely applies.

More Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: The scheduling delays described above in the "Schedule" section result in the need to add project resources into FY 2011/12 and possibly FY 2012/13. The FSR Economic Analysis Worksheets (EAWs) list these resources rolling off of the project in FY 2011/12.

Resources (Budget/Cost) Choose the statement that most closely applies.

Higher Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: As stated in the "Schedule" section above, one compliant bid emerged from the bid evaluations. The only compliant bidder's cost proposal is higher than the approved FSR. The SPR for the additional funds must be approved prior to the contract execution. The accumulated delays have caused a change in the fiscal year impact of the project, significantly reducing the FY 2009/10 expenditures and increasing the FY 2010/11 expenditures and adding project costs to FY 2011/12 and possibly into FY 2012/13 if delays continue in the procurement phase.

The Public Cost Opening occurred on June 30, 2008. The costs of the only compliant bidder were higher than the FSR amounts approved and thus, additional funds are needed to fund this project. The costs were higher because:

A. Inflation has affected the overall costs from the FSR at least 15%.

B. A new requirement for upgrading the MDC to link the 6,000 field officers directly with the CAD system. The only compliant bidder's cost of software was considerably higher than expected due to the cost of customizing the commercial off the shelf CAD solution to meet the needs of CHP specific requirements. Additionally, the only compliant bidder includes the cost of the MDC software in their base CAD, so the software costs include the cost of MDC client software as well.

C. The CHP communications centers have been authorized to increase staff. To accommodate the increased staff, additional workstations must be provided to support these new dispatchers. This has led to requiring the new contract to provide another 116 workstations above the original 500 projected in the FSR.

D. Training requirements grew during the procurement to better meet the needs of CHP. With the enhanced training requirements, the CHP personnel will be better prepared to use the new system and the transition to the new system will have fewer issues.

The specific impact of this change is to recognize the reality of the schedule delays and the resultant change in the final implementation date. The financial impact, as delineated in the updated SPR EAWs, shows a significant shift of funds required into the appropriate years; and the increase in those funds for the delays in the project, additional workstations, the MDC software upgrade for all field officers, and the additional software costs.

A BCP has been forwarded to the Department of Finance to fund the New CAD Project beginning in FY 2009/10 and is currently under review.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: The CAD Proposal Review team comprised of members of the CAD System Administrator team, Dispatchers and Dispatch Supervisors, evaluated the submitted bids and through this review validated that the RFP requirements adequately define CHP's functionality needs and that the CAD vendor community can meet these needs.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments:

The CAD Proposal Review team confirmed that CHP's architectural needs, as well as the client functionality referenced above, can be met by the CAD vendor community based on the bid reviews conducted during the last reporting period. In order to ensure that the final CAD delivery is a robust, stable and fully functional system, the CAD Proposal team has built into the RFP the following quality assurance measures, the first of which is expected to occur next quarter.

First, shortly after the contract award, Joint Application Design sessions will take place to ensure the 442 mandatory requirements and all of the winning vendor's desirable offerings are understood and designed thoroughly for CHP by the vendor.

Second, the CHP will review and approve the vendors Test Plan as well their test scenarios and scripts to confirm that all of the CAD system requirements will be thoroughly tested. If there are any test scenarios CHP would like to add or expand upon CHP will have an opportunity to present them to the vendor for inclusion in the test plan.

Third, once all of the CHP interfaces and the CAD customization have been completed, the RFP requires a full functionality test. This means that each of the 442 mandatory requirements and all of the winning vendor's desirable requirement offerings will be tested one by one to demonstrate that all are met in the CAD system prior to the Pilot Phase.

Finally, once representatives from the CAD Committee have executed the functionality test, the CHP will authorize the Pilot Phase to commence. The Pilot Phase is the rollout of the CAD system at the Sacramento Communications Center. The Pilot Phase includes the preparation of the site for production including but not limited to: the training of all end users, the deployment of all hardware, the loading of all appropriate reference table data, etc. The project will remain in the Pilot Phase until the CAD system has been operational without significant errors for 21 business days and only then will CHP authorize the statewide rollout to the remaining Communications Centers and training facilities.

As mentioned in the Schedule section, negotiations may take place in the next reporting period, possibly leading to an overall reduction in project scope and cost.

New Project Risks

Any project risk with an **Impact** score of "High" or "Medium" combined with a **Probability** score of "High" or "Medium" will be reported and monitored on a regular basis. A Project Risk Status Meeting was held on March 26, 2009 to discuss each of the project risks resulting in 6 risks classified as "Regularly Monitor" (listed below). However, it is important to note that all risks are reviewed by the project team and operational managers on a quarterly basis regardless of the classification. There are two risks that are identified as High/High. Below are risks that are classified as High (Impact)/High (Probability). High (Impact)/Medium (Probability). The entire Risk Issue Tracking Matrix is attached to this report for reference.

This reporting period, one new risk was opened and one closed risk was re-opened. In addition, several risks that are 'operational' rather than 'project' risks were removed from the project risk matrix and turned over to the CAD Unit Supervisor to manage as the implementation approaches.

Progress toward Addressing Prior Risks

Identifier:

048

Risk Statement: The bid could be cancelled due to continued delays by DGS to finish the procurement.

Status: CHP management will escalate through DGS.

003

Risk Statement: CHP Operational demands on critical staff. Workload is to be assessed, prioritized, and balanced in order to ensure that CAD dependency work stays on schedule.

Status: CHP workload to be assessed, prioritized and balanced (shift resources, etc.) in order to ensure that CAD dependency work stays on schedule

Identifier:

044

Risk Statement: MDCs in vehicles might become too old to house the Vendor MDC software under their Maintenance Agreement

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until the vehicle PCs are updated and then implement the vendor MDC software.

Identifier:

045

Risk Statement: MDC Officer Training is more complex, difficult for Officers to adapt.

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until comprehensive Officer training is completed in the field and then implement the Vendor MDC software.

Identifier:

047

Risk Statement: CHP internally written MDC Interface isn't ready or has issues

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
CAD project must delay until the Officers can be trained on the Vendor COTS MDC software.

Identifier:

004

Risk Statement: New GIS spatial data library not available for selected vendor

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Fill all open GIS positions and plan/track all GIS activities. However, due to the delayed State Budget and the subsequent hiring freeze, the risk of this item has increased.

General Comments

Overall, little progress has been made in the procurement phase this quarter as DGS reviewed the Negotiation Planner and the Evaluation and Selection Report. Optimistically, the procurement will move forward in the second quarter.

In preparation for a Senate hearing, the Dept of Finance called for a conference call with DGS, OCIO and CHP for a status on the New CAD procurement. The Dept of General Services (DGS) provided reassurances that the process should move forward within the next week. There are no outstanding items owed by CHP at this point.

The Senate Budget Subcommittee voted unanimously to fund the New CAD project.

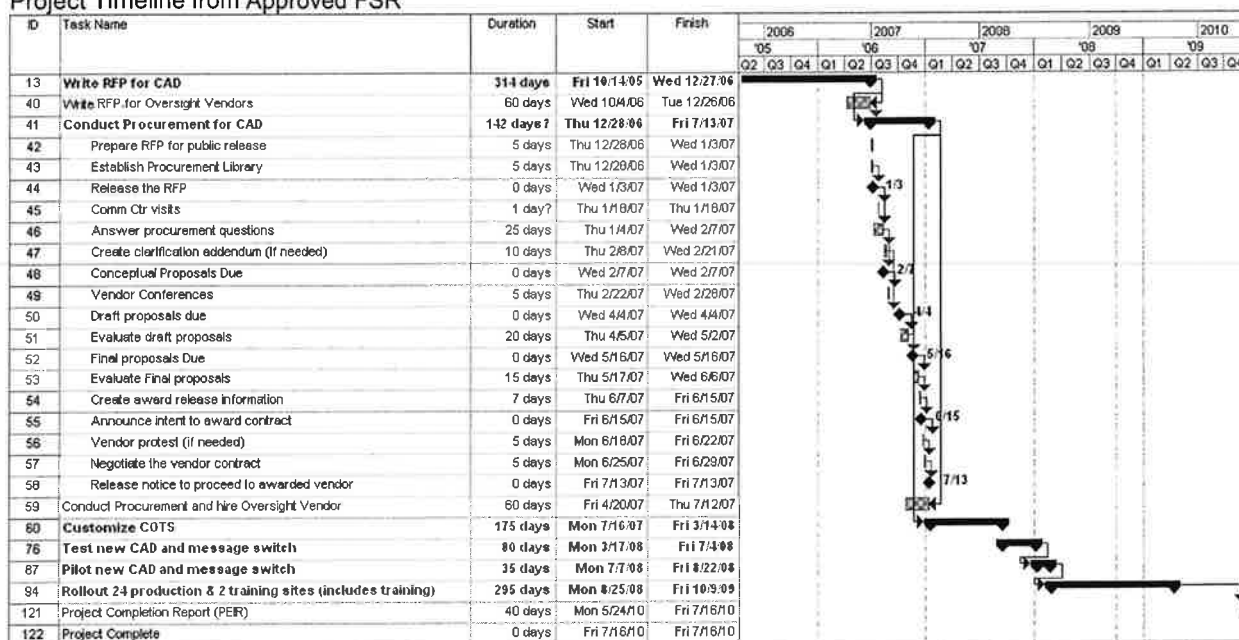
The DGS Procurement Officer has scheduled a meeting with the CHP project management team on April 2nd to review the next phase of the procurement process.

The third quarter New CAD Project Risk Status meeting occurred on March 26th. One new risk was introduced and is listed below in the "Risk Updates" section.

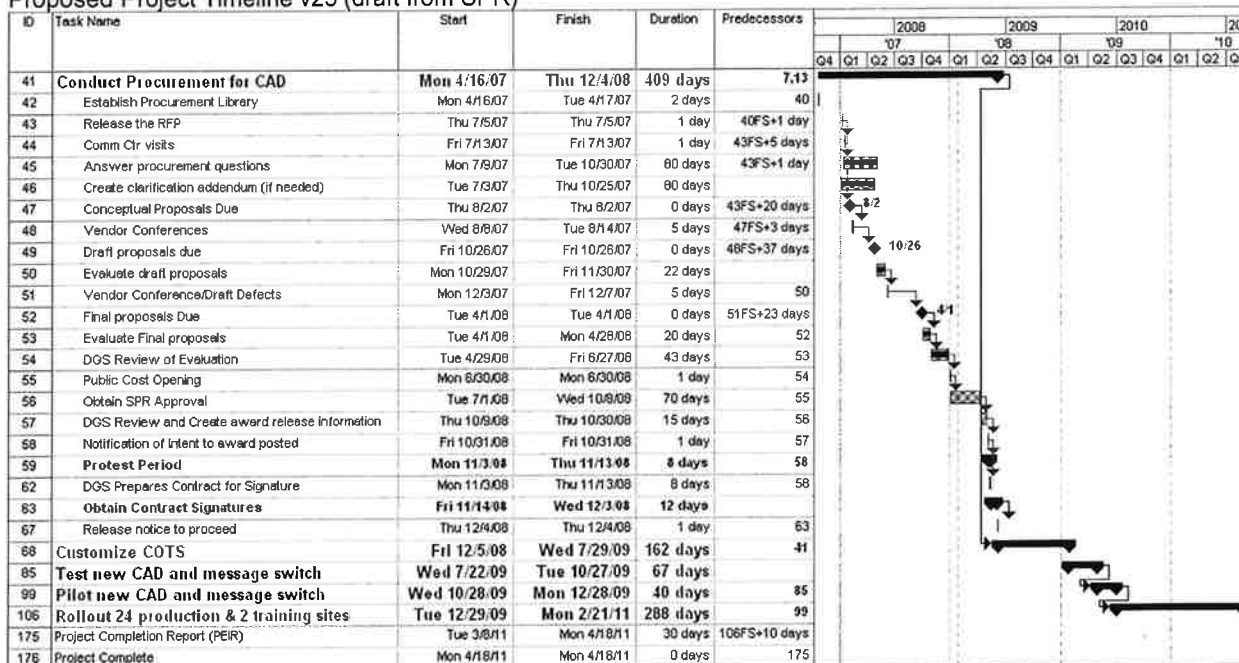
Attachments:

Risk Matrix

Project Timeline from Approved FSR



Proposed Project Timeline v25 (draft from SPR)



Project Risk Matrix



I:\DEEPdocs\DEEP
Program\New CAD Pr

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Computer Aided Dispatch Replacement
Proj.

Assessment Date: June 2009

Frequency: Quarterly

Oversight Provider Information

Oversight Leader: Lori Young

Organization: California Highway Patrol

Phone Number: 916-657-7171

Email: LYoung@chp.ca.gov

Project Information

Project Number: 2720 - 88

Department: California Highway Patrol

Criticality: Medium

Agency: Business, Transportation & Housi

Last Approved Document/Date: FSR – 5/11/06

Total One-time Cost: \$19,367,216

Start Date: 4/1/2006

End Date: 10/5/2010

Project Manager: Kristin Gray

Organization: Information Technology Section

Phone Number: 916-453-3839

Email: kgray@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement

Planned Start Date: 10/14/2006

Planned End Date: 7/14/2007

Actual Start Date: 10/14/2006

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: The Procurement Phase is currently 24 months behind schedule based on the timeline from the approved FSR which listed the Procurement Completion date as July 13, 2007. This delay includes the late release of the Computer Aided Dispatch (CAD) Replacement Request for Proposal (RFP) which was published in July 2007 seven months behind schedule due to RFP modifications and additional time needed for the Department of General Services (DGS) review.

Over the subsequent months, bidders submitted approximately 400 questions which were answered by the CHP and DGS as well as the release of seven RFP Addendums to provide additional clarification to the RFP requirements. The time needed to respond and publish the Questions and Answers and the RFP Addendums resulted in a delay of the final proposal due date originally scheduled for May 16, 2007 to April 1, 2008.

Also, CHP made the determination to add scope to the RFP to address the need to replace the Mobile Digital Computers (MDCs) Software in CHP vehicles as well as add 116 workstations for approved Communication Center staffing increases. Thus, while the procurement phase continued, development of a Special Project Report (SPR) began in July 2007 to address these two areas.

Final proposals were received on April 1, 2008. One month was projected to evaluate the final proposals and prepare the preliminary "Evaluation and Selection Report", yet the proposal reviews took six weeks to complete and an additional four weeks DGS needed to review the preliminary "Evaluation and Selection Report". This additional two months placed the Public Cost Opening on June 30, 2008. The costs were opened for the only compliant bid. The costs were higher than the Feasibility Study Report (FSR) estimates and thus, the existing SPR was revised to outline the additional funds (for the MDCs, additional workstations and the bidder's cost proposal) needed to move forward with the "Intent to Award". These additional costs are outlined in the "Cost" section below.

On September 17, 2008, a memorandum to DGS was sent requesting negotiations with the compliant bidder to reduce costs citing Public Contract Code 6611 (PCC 6611). Members of the CAD Committee reviewed the "Desirable" RFP requirements to identify areas of potential scope reduction in order to reduce the cost of the configuration. The amount of time needed to conduct these negotiations is not reflected in the project timeline. The DGS Procurement Officer (PO) arranged with the compliant bidder to extend the offer in order to allow enough time for bidder negotiations, the SPR approval and to complete the "Intent to Award". The bidder's offer was extended until December 27, 2008, however, due to delays in the PCC6611 process at DGS, a second bid extension was secured by DGS Procurement and the second offer was valid until June 2009. The DGS PO assured the CHP that the second offer extension will not expire according to PCC6611.

Comments: **Schedule (continued):**

In preparation for the bidder negotiations, CHP completed the DGS Template "Negotiation Planner" considering many areas for potential cost saving. The Negotiation Plan was sent to DGS on December 2, 2008. On March 18th the DGS OLS unit approved the CHP New CAD Negotiation Plan and drafted a letter approving the negotiations. The DGS approval to proceed with PCC6611 negotiations was received on April 1, 2009. The CHP, DGS and the bidder met on April 10, 2009 and April 24, 2009 to discuss possibilities to reduce the cost of the New CAD contract. The bidder submitted a revised offer on April 29, 2009 reducing the overall contract price by approximately one million dollars. The CHP did not reduce the scope related to the functionality outlined in the RFP. The SPR was revised to reflect the new cost proposal and was routed to the OCIOs office for approval. The Economic Analysis Worksheets were provided to the Department of Finance to preview while the OCIO processes the SPR. The DGS Procurement Officer (PO) agreed to assemble the vendor contract on June 5, 2009. All control agencies are waiting for the 2009-2010 budget to be approved before they will allow the CAD Replacement project to move forward.

Once the SPR is approved and the project funded, the DGS PO will prepare the "Intent to Award", and submit the contract and the Final Evaluation and Selection Report to the DGS Office of Legal Services (OLS) Unit for approval as OLS will not review any procurement deliverable until the SPR is approved. Once the SPR is approved, DGS requests three weeks to review and approve the New CAD Procurement documents.

The revised "Intent to Award" date was October 31, 2008 and is now eight months behind the October target date.

Resources (Level of Effort) Choose the statement that most closely applies.

More Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: The scheduling delays described above in the "Schedule" section result in the need to add project resources into FY 2011/12 and possibly FY 2012/13. The FSR Economic Analysis Worksheets (EAWs) list these resources rolling off of the project in FY 2011/12.

Resources (Budget/Cost) Choose the statement that most closely applies.

Higher Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: As stated in the "Schedule" section above, one compliant bid emerged from the bid evaluations. The only compliant bidder's cost proposal is higher than the approved FSR. The SPR for the additional funds must be approved prior to the contract execution. The accumulated delays have caused a change in the fiscal year impact of the project, significantly reducing the FY 2009/10 expenditures and increasing the FY 2010/11 expenditures and adding project costs to FY 2011/12 and possibly into FY 2012/13 if delays continue in the procurement phase.

The Public Cost Opening occurred on June 30, 2008. The costs of the only compliant bidder were higher than the FSR amounts approved and thus, additional funds are needed to fund this project. The costs were higher because:

A. Inflation has affected the overall costs from the FSR at least 15%.

B. A new requirement for upgrading the MDC to link the 6,000 field officers directly with the CAD system. The only compliant bidder's cost of software was considerably higher than expected due to the cost of customizing the commercial off the shelf CAD solution to meet the needs of CHP specific requirements. Additionally, the only compliant bidder includes the cost of the MDC software in their base CAD, so the software costs include the cost of MDC client software as well.

C. The CHP communications centers have been authorized to increase staff. To accommodate the increased staff, additional workstations must be provided to support these new dispatchers. This has led to requiring the new contract to provide another 116 workstations above the original 500 projected in the FSR.

D. Training requirements grew during the procurement to better meet the needs of CHP. With the enhanced training requirements, the CHP personnel will be better prepared to use the new system and the transition to the new system will have fewer issues.

The specific impact of this change is to recognize the reality of the schedule delays and the resultant change in the final implementation date. The financial impact, as delineated in the updated SPR EAWs, shows a significant shift of funds required into the appropriate years; and the increase in those funds for the delays in the project, additional workstations, the MDC software upgrade for all field officers, and the additional software costs.

As mentioned in the "Schedule" section above, the bidder revised their offer through the PCC6611 negotiations and reduced the overall price by approximately \$1M. These reductions are reflected in the SPR EAWs which are currently awaiting approval by the OCIO.

A BCP has been forwarded to the Department of Finance to fund the New CAD Project beginning in FY 2009/10 and is currently under review.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: The CAD Proposal Review team comprised of members of the CAD System Administrator team, Dispatchers and Dispatch Supervisors, evaluated the submitted bids and through this review validated that the RFP requirements adequately define CHP's functionality needs and that the CAD vendor community can meet these needs.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments:

The CAD Proposal Review team confirmed that CHP's architectural needs, as well as the client functionality referenced above, can be met by the CAD vendor community based on the bid reviews conducted during the last reporting period. In order to ensure that the final CAD delivery is a robust, stable and fully functional system, the CAD Proposal team has built into the RFP the following quality assurance measures, the first of which is expected to occur next quarter.

First, shortly after the contract award, Joint Application Design sessions will take place to ensure the 442 mandatory requirements and all of the winning vendor's desirable offerings are understood and designed thoroughly for CHP by the vendor.

Second, the CHP will review and approve the vendors Test Plan as well their test scenarios and scripts to confirm that all of the CAD system requirements will be thoroughly tested. If there are any test scenarios CHP would like to add or expand upon CHP will have an opportunity to present them to the vendor for inclusion in the test plan.

Third, once all of the CHP interfaces and the CAD customization have been completed, the RFP requires a full functionality test. This means that each of the 442 mandatory requirements and all of the winning vendor's desirable requirement offerings will be tested one by one to demonstrate that all are met in the CAD system prior to the Pilot Phase.

Finally, once representatives from the CAD Committee have executed the functionality test, the CHP will authorize the Pilot Phase to commence. The Pilot Phase is the rollout of the CAD system at the Sacramento Communications Center. The Pilot Phase includes the preparation of the site for production including but not limited to: the training of all end users, the deployment of all hardware, the loading of all appropriate reference table data, etc. The project will remain in the Pilot Phase until the CAD system has been operational without significant errors for 21 business days and only then will CHP authorize the statewide rollout to the remaining Communications Centers and training facilities.

As mentioned in the Schedule section, negotiations took place in the second quarter and no scope reductions relating to CAD functionality occurred.

New Project Risks

Any project risk with an **Impact** score of "High" or "Medium" combined with a **Probability** score of "High" or "Medium" will be reported and monitored on a regular basis. A Project Risk Status Meeting was held on June 25, 2009 to discuss each of the project risks resulting in seven risks classified as "Regularly Monitor" (listed below). However, it is important to note that all risks are reviewed by the project team and operational managers on a quarterly basis regardless of the classification. There are two risks that are identified as High/High. Below are risks that are classified as High (Impact)/High (Probability). High (Impact)/Medium (Probability). The entire Risk Issue Tracking Matrix is attached to this report for reference.

This reporting period, one new risk was opened and one closed risk.

Progress toward Addressing Prior Risks

Identifier: 048

Risk Statement: The bid could be cancelled due to continued delays by DGS to finish the procurement.

Status: CHP management will escalate through DGS. DGS has assured CHP that the bid will not be cancelled per the PCC6611 process

Identifier: 003

Risk Statement: CHP Operational demands on critical staff. Workload is to be assessed, prioritized, and balanced in order to ensure that CAD dependency work stays on schedule.

Status: CHP workload to be assessed, prioritized and balanced (shift resources, etc.) in order to ensure that CAD dependency work stays on schedule

Identifier: 049 (New)

Risk Statement: Development of WIN-MSS Screens not completed on time.

Status: Secure a contractor skilled in the current programming language to complete development of the new WIN-MSS screens.

Identifier: 044

Risk Statement: MDCs in vehicles might become too old to house the Vendor MDC software under their Maintenance Agreement

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until the vehicle PCs are updated and then implement the vendor MDC software.

Identifier: 045

Risk Statement: MDC Officer Training is more complex, difficult for Officers to adapt.

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
Deploy the CHP internal MDC Interface until comprehensive Officer training is completed in the field and then implement the Vendor MDC software.

Identifier: 047

Risk Statement: CHP internally written MDC Interface isn't ready or has issues

Status: The project team is actively tracking this risk and proposes the following mitigation strategy:
CAD project must delay until the Officers can be trained on the Vendor COTS MDC software.

General Comments

Overall, little progress has been made in the procurement phase this quarter. Bidder negotiations are completed and all procurement documents have been revised and submitted to the control agencies. Optimistically, the procurement will move forward in the third quarter.

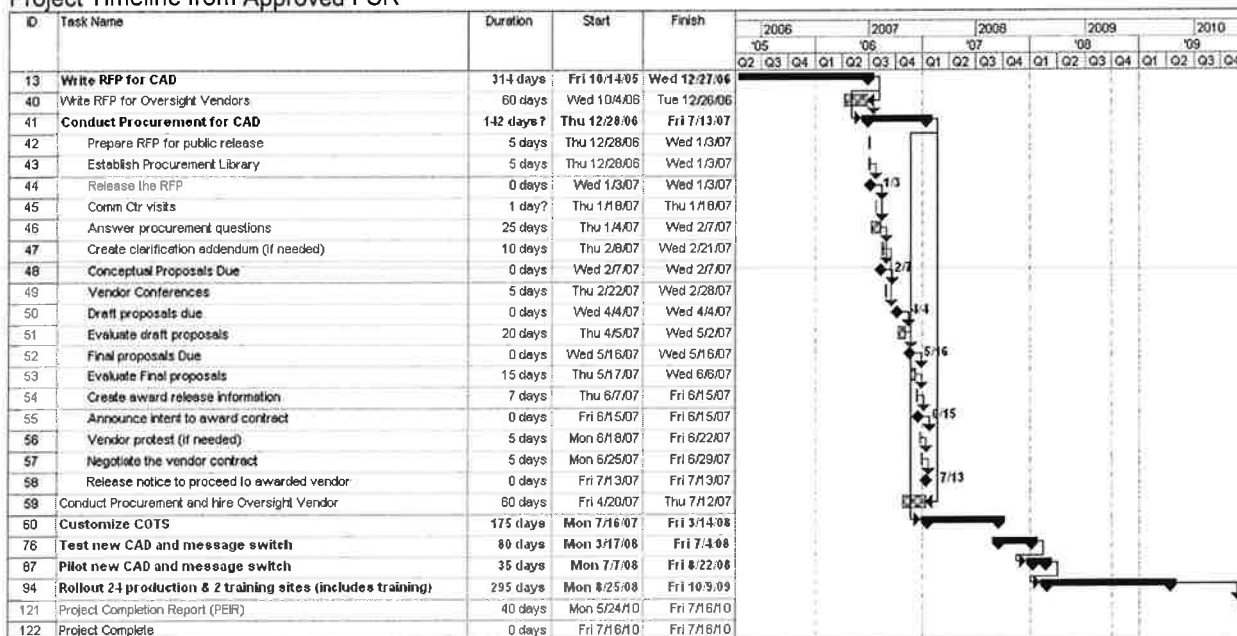
The procurement process is essentially on hold until the 2009-2010 budget is passed. There are no outstanding items owed by CHP at this point.

The second quarter New CAD Project Risk Status meeting occurred on June 25th. One new risk was introduced and is listed below in the "Risk Updates" section.

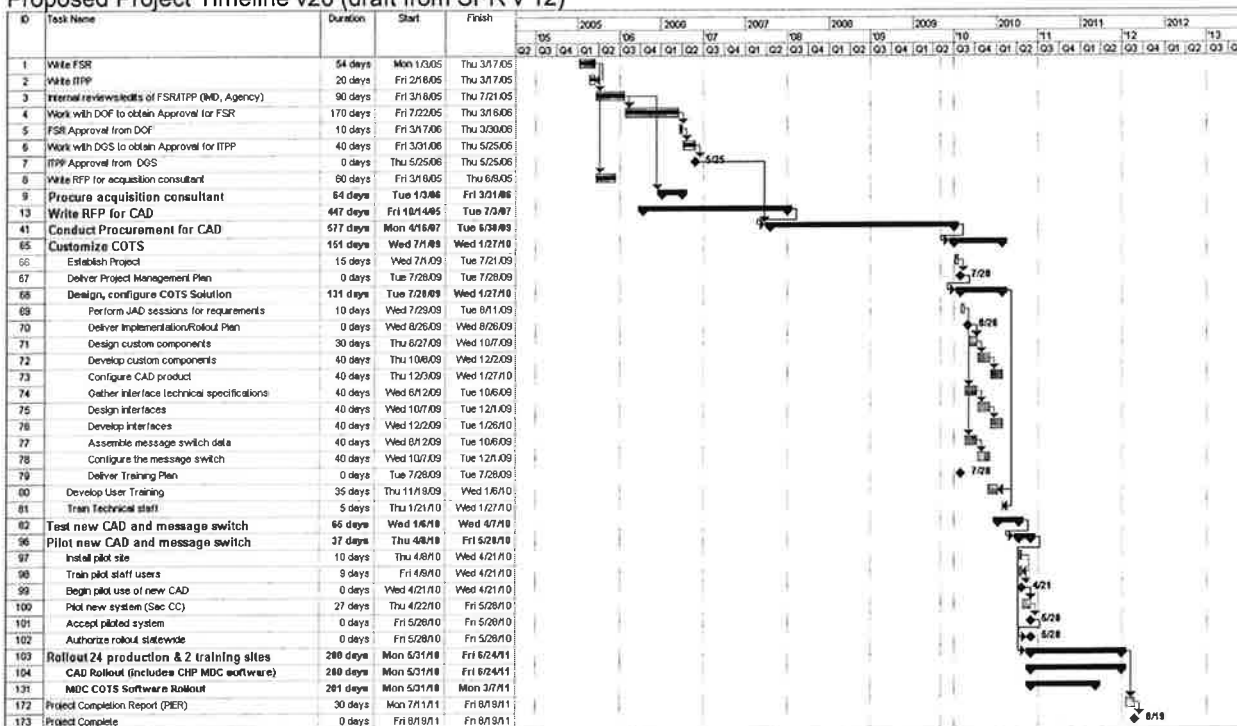
Attachments:

Risk Matrix

Project Timeline from Approved FSR



Proposed Project Timeline v26 (draft from SPR v 12)



Project Risk Matrix



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Program\New CAD Pr

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Statewide Automated Citation System

Assessment Date: September 09

Frequency: Monthly

Oversight Provider Information

Oversight Leader: Lt. Paul Vincent

Organization: California Highway Patrol

Phone Number: (916)843-4000

Email: PVincent@chp.ca.gov

Project Information

Project Number: -272091

Department: CHP

Criticality: High

Agency: BTH

Last Approved Document/Date: FSR – 1/10/09

Total One-time Cost: \$22,273,589

Start Date: 10/1/2008

End Date: 9/27/2011

Project Manager: Siva Arani

Organization: CHP

Phone Number: (916) 453-3908

Email: SArani@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Requirements

Planned Start Date: 10/1/2008

Planned End Date: 12/31/2008

Actual Start Date: 6/1/2009

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: The Feasibility Study Report (FSR) that was submitted originally to the Office of the Chief Information Officer (OCIO) had a project/requirements phase start date as 10/01/2008. The FSR was approved by the OCIO on 01/10/2009. The procurement process for contract services started after the FSR approval and the consultants started project work on 06/01/2009.

The delay in start date has delayed the finish date of the requirements phase by approximately eight months and the design and development phases by approximately five months. The delay in the project schedule is directly attributed to the delay in the project approval and consultant procurement process. The time delay for each of the phases will progressively reduce during the life of the project and it is anticipated that the overall project finish date will be met. It is estimated that this project will be completed on schedule and within the allocated budget.

The project team is working within an accelerated schedule to get the project completed on schedule by adopting a concurrent development model by conducting JAD sessions for gathering requirements, design and development requirements at the same time compressing the schedule for these phases.

Additionally, the project team has initiated discussions with the procurement analyst from the Department of General Services (DGS) early on in the project to insure that the acquisition process for hardware and software are completed in a shortened time frame.

While waiting for the FSR to get approved, the project management team also spent considerable time on risk analysis, risk mitigation and contingency planning, so that any risks encountered during project execution can be mitigated quickly and effectively.

Resources (Level of Effort) Choose the statement that most closely applies.

Within Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: This project is being funded under the Office of Traffic Safety (OTS) grant (TR0810) and the consulting resources allocated for this project are as defined in the grant.

Resources (Budget/Cost) Choose the statement that most closely applies.

Within Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: This project is being funded under the Office of Traffic Safety (OTS) grant (TR0810) and the budget allocated for this project are as defined in the grant.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: Project is in the process of gathering and defining the client functionality. Every effort is being made to include wide range of subject matter experts (SME), from officers to court clerical staff, representatives from Administrative Office of Courts (AOC), and technical staff, as a part of the requirements gathering team to ensure that the required client functionality is adequately defined.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments: N/A. This will be defined in the design phase.

New Project Risks

List (in priority order) the most critical risks to completing the project within the approved schedule, budget and scope. See instructions for description of desired format. If more than five risks are to be included, copy and paste as needed.

Any project risk with an **Impact** score of “High” or “Medium combined with a **Probability** score of “High” or “Medium” will be reported and monitored on a regular basis.

All risks are reviewed by the project team on a monthly basis regardless of the classification. Below are risks that are classified as High (Impact)/High (Probability), High (Impact)/Medium (Probability). The entire Risk Tracking Matrix is attached to this report for reference.

Based on a thorough risk evaluation by the network architect, it was determined that Risk 1 and Risk 4 are no longer classified as High (Impact)/High (Probability), High (Impact)/Medium (Probability) and hence have been removed from this report. However, three new risks have been added to this document for the September 2009 reporting period.

Identifier: 5 **Risk Statement:** Finding a handheld device that is acceptable to all officers

Probability: Low **Impact:** High **Timeframe:** Long

Related Findings: Handheld devices being procured, as a part of this project, will be used by CHP officers in various modes of transport, such as, patrol cars, motor cycles, bi-cycles, etc. Hence it is expected that the devices are suitable for easy use in all the environments and well accepted by all the officers.

Mitigation plan is to actively involve CHP officers from various groups in the requirements gathering phase and in the handheld device selection process.

Identifier: 6 **Risk Statement:** Internal Management Review & Approvals

Probability: Medium **Impact:** Medium **Timeframe:** Medium

Related Findings: CHP internal review and approval process is taking longer than estimated in the project schedule.

Mitigation plan is to bring this issue to the CHP executive management's notice and work with them in completing the review and approval process in an expeditious manner.

Identifier: 7 **Risk Statement:** Delays in procurement process

Probability: Medium **Impact:** High **Timeframe:** Long

Related Findings: Project approval and vendor selection process have taken longer time than anticipated resulting in very tight procurement timelines. The procurement timelines could further be affected by any changes to the current DGS procurement policies and procedures.

Mitigation plan is to collaboratively work with CHP Management and the DGS analyst to reduce SACS procurement lifecycle.

Identifier: Risk Statement: Poor coordination with AOC e-Citation Project

2

Status: CHP and AOC are working together closely in requirements gathering and analysis, and monitoring the project status to make sure that the deliverables are completed on time and within budget.

Identifier: Risk Statement: Ambiguity of Requirements

3

Status: MIS interface requirements gathering sessions are in progress. After completing the requirements gathering, an interface specification document will be created for review and approval from all concerned staff. An approved interface specification document will mitigate this risk.

General Comments

The FSR for this project was approved by the OCIO on January 10, 2009. After the approval was received by California Highway Patrol, solicitations for contract services were processed and the consultants for this project initiated work effective June 1, 2009. The project is currently in the planning/requirements gathering phase. The finish date for this phase is delayed by about eight months from the original date defined in the FSR as a result of the delay in the FSR approval process.

It is not anticipated that the final project finish date will change. The project team has reevaluated the timeline and has created concurrency with some of the requirements and planning tasks to bring the project into alignment with the completion date and within budget as defined in the approved FSR.

SACS Risk Matrix

Instructions for completing this Risk Matrix are embedded as comments in the column headers. Refer to IT PMM Section 3.9.3 for further information.

Id	Risk Owner	Assign To	Origination Date	Impact (H-M-L)	Probability (H-M-L)	Exposure (calc'd)	Time Frame (S-M-L)	Severity (calc'd)	Risk Event Description	Risk Context/Analysis (Triggers)	Risk Category	Risk Response Strategy	Mitigation / Prevention Plan	Contingency Plan	Risk Tracking	Cross-Ref to Chg Rqst	Comments
ni	Siva Arani	Eric Anderson	3/28/2008	Medium	Low	Low	Long	Low	The infrastructure currently in place is unable to uphold the increased workload of the new system, resulting a slow performance or unacceptable down-time.	Infrastructure Deployment and testing	Design/Implementation	Mitigation	Ensure that infrastructure has sufficient capacity to handle the highest foreseeable workload. Secondary mitigation, tune the system design to ensure the most efficient processing capabilities.	Obtain more processors within the planned virtual environment.			The existing v environment should be suf to address expected wor Workload estimates will improved dur requirements gathering in o to validate thi assumption.
	Siva Arani	Siva Arani	3/28/2008	High	Medium	High	Long	Medium	The AOC's project currently only deploys citations to four Southern California Counties which risks this project's ability to meet the objectives of the OTS Grant (TR 0810) within the timeframes specified in the grant.	Further collaboration with the AOC will determine the probability and timeframe of this risk event. The trigger for this event is the deployment of the CHP solution to officers.	External Environment	Mitigation	The CHP will engage is active and aggressive collaboration with the AOC to improve the likelihood that their solution will be ready to all California judicial jurisdictions.	Citations can continue to be sent via paper to the courts. The CHP will still achieve benefits from electronic transmission to the CED and MIS.			Regular statu meetings with AOC will be u as a communicatic method.
ni	Siva Arani	Siva Arani	3/28/2008	Low	Medium	Low	Medium	Low	The ambiguity in understanding of some of the enhancements planned for this project may cause requirements to be insufficiently detailed which would result in poor cost and schedule estimates.	JAD sessions will provide more detail concern this condition. Requirements analysis will be the primary trigger for this risk.	Requirements Mgmt	Mitigation	The team will utilize a broad cross-section of customer subject matter experts in order to gain the best possible understanding of the requirements and business rules.	Manage change to all baselines and submit SPR as necessary to respond to refined requirements.			This project w utilize the mo: experienced analysts avail to ensure the possible resu during requirements development.

SACS Risk Matrix

Instructions for completing this Risk Matrix are embedded as comments in the column headers. Refer to IT PMM Section 3.9.3 for further information.

Id	Risk Owner	Assign To	Origination Date	Impact (H-M-L)	Probability (H-M-L)	Exposure (calc'd)	Time Frame (S-M-L)	Severity (calc'd)	Risk Event Description	Risk Context/Analysis (Triggers)	Risk Category	Risk Response Strategy	Mitigation / Prevention Plan	Contingency Plan	Risk Tracking	Cross-Ref to Chg Rqst	Comments
ni	Siva Arani	Ed Ross	3/28/2008	Low	Low	Low	Medium	Low	The creation of a state-wide wireless network for CHP field operations may result in new requirements and changes to system architectural design.	This infrastructure change is estimated to occur in late 2009. Should this be the case, the project will be able to incorporate this infrastructure into the final architectural design. If it occurs later in the project, the impact may be greater than initially identified.	Requirements Mgmt	Mitigation	Application architecture will utilize open standards so as to be as flexible as possible to accommodate infrastructure changes.	Manage change to all baselines and submit SPR as necessary to respond to refined requirements.			
	Siva Arani	Siva Arani	6/22/2009	High	Low	Medium	Long	Low	All officers may not express the same preference in using the device in rain, snow, extreme heat, or other adverse weather conditions, and device features such as large screen, color touch screen that's easy to read in bright sunlight as well as at night.	Some officers may find it hard to use the handheld device based on their individual preferences or some other physical characteristics.	Requirements Mgmt	Mitigation	Involve User Representatives in the requirements gathering, device selection and user acceptance testing. Involve CHP Management in the user buy-in process.				
	Siva Arani	Siva Arani	9/9/2009	Medium	Medium	Medium	Medium	Medium	Longer internal Management Review & Approval process may impact project schedule.	CHP has a very elaborate review and approval process for project documentation that may take longer than estimated.	Organization /Mgmt	Acceptance/Contingency	Escalate the need of urgency to the management when project schedule is under risk.				

SACS Risk Matrix

Instructions for completing this Risk Matrix are embedded as comments in the column headers. Refer to IT PMM Section 3.9.3 for further information.

Owner	Risk Owner	Assign To	Origination Date	Impact (H-M-L)	Probability (H-M-L)	Exposure (calc'd)	Time Frame (S-M-L)	Severity (calc'd)	Risk Event Description	Risk Context/Analysis (Triggers)	Risk Category	Risk Response Strategy	Mitigation / Prevention Plan	Contingency Plan	Risk Tracking	Cross-Ref to Chg Rqst	Comments
ni	Siva Arani	Siva Arani	9/9/2009	High	Medium	High	Long	Medium	1. Project approval from the OCIO had taken longer than anticipated. 2. Consultants hiring process had taken longer than anticipated. 3. Any changes to the DGS procurement policies and procedures may also affect the procurement timelines.	Any changes to the DGS procurement policies and procedures will affect the overall procurement timelines.	Procurement	Mitigation	Work closely with DGS Procurement analyst and CHP executive management to reduce procurement lifecycle.	Initiate a SPR to extend the project timeline.			

Appendix G: Independent Project Oversight Report

[See separate instruction sheet for guidance on any of the fields in the form]

Project Name: Statewide Automated Citation System

Assessment Date: August 31, 2009

Frequency: Monthly

Oversight Provider Information

Oversight Leader: Lt. Lori Young

Organization: California Highway Patrol

Phone Number: (916) 657-7171

Email: LYoung@chp.ca.gov

Project Information

Project Number: 2720-91

Department: CHP

Criticality: High

Agency: BTH

Last Approved Document/Date: FSR – 1/10/09

Total One-time Cost: \$22,273,589

Start Date: 10/1/2008

End Date: 9/27/2011

Project Manager: Siva Arani

Organization: CHP

Phone Number: (916) 453-3908

Email: SArani@chp.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Requirements

Planned Start Date: 10/1/2008

Planned End Date: 12/31/2008

Actual Start Date: 6/1/2009

Schedule

Select the statement that most closely applies, measured against the last **Finance approved** document.

Behind Schedule

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%).
All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan.
(Within 5%)

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments: The Feasibility Study Report (FSR) that was originally submitted to the Office of the Chief Information Officer (OCIO) had a project/requirements phase start date of 10/01/2008. The FSR was approved by the OCIO on 01/10/2009. The procurement process for contract services started after the FSR approval and the consultants started project work on 06/01/2009.

The delay in start date has delayed the finish date of the requirements phase by approximately eight months and the design and development phases by approximately five months. The delay in the project schedule is directly attributed to the delay in the project approval and consultant procurement process. The time delay for each of the phases will progressively reduce during the life of the project and it is anticipated that the overall project finish date will be met. It is estimated that this project will be completed on schedule and within the allocated budget.

The project team is working within an accelerated schedule to get the project completed on schedule by adopting a concurrent development model by conducting JAD sessions for gathering requirements, design and development requirements at the same time compressing the schedule for these phases.

Additionally, the project team has initiated discussions with the procurement analyst from the Department of General Services (DGS) early on in the project to insure that the acquisition process for hardware and software are completed in a shortened time frame.

While waiting for the FSR to get approved, the project management team spent considerable time on risk analysis, risk mitigation and contingency planning, so that any risks encountered during project execution can be mitigated quickly and effectively.

Resources (Level of Effort) Choose the statement that most closely applies.

Within Resources

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Comments: This project is being funded under the Office of Traffic Safety (OTS) grant (TR0810) and the consulting resources allocated for this project are as defined in the grant.

Resources (Budget/Cost) Choose the statement that most closely applies.

Within Cost

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Comments: This project is being funded under the Office of Traffic Safety (OTS) grant (TR0810) and the budget allocated for this project are as defined in the grant.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: Project is in the process of gathering and defining the client functionality. A wide range of subject matter experts are being utilized, from officers to court clerical staff, representatives from Administrative Office of Courts (AOC), and technical staff, as a part of the requirements gathering team to ensure that the required client functionality is adequately defined.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments: N/A. This will be defined in the design phase.

New Project Risks

List (in priority order) the most critical risks to completing the project within the approved schedule, budget and scope. See instructions for description of desired format. If more than five risks are to be included, copy and paste as needed.

Any project risk with an **Impact** score of “High” or “Medium combined with a **Probability** score of “High” or “Medium” will be reported and monitored on a regular basis.

All risks are reviewed by the project team on a monthly basis regardless of the classification. Below are risks that are classified as High (Impact)/High (Probability), High (Impact)/Medium (Probability). The entire Risk Tracking Matrix is attached to this report for reference.

No new risk was opened during this reporting period.

Progress Toward Addressing Prior Risks

List the risks included in the *New Project Risks* section in previous IPORs. Risks are to remain reported in this section until they are closed or no longer critical, with an explanation of the resolution. See instructions for description of desired content. If more than five risks are to be included, copy and paste as needed.

Identifier: Risk Statement: Insufficient Infrastructure to Support Production

1

Status: Network bandwidth requirements were analyzed and found to be adequate to support additional SACS traffic. The Database Server environment is scheduled to move within the next few months to virtual processing environment with more processing power. During the application design phase, the programming team will work closely with the Infrastructure Services group and work toward mitigating any potential risks that could affect the performance.

Identifier: Risk Statement: Poor coordination with AOC e-Citation Project

2

Status: CHP and AOC are working together closely in requirements gathering and analysis, and monitoring the project status to make sure that the deliverables are completed on time and within budget.

Identifier: Risk Statement: Ambiguity of Requirements

3

Status: MIS interface requirements gathering sessions are in progress. After completing the requirements gathering, an interface specification document will be created for review and approval from all concerned staff. An approved interface specification document will mitigate this risk.

Identifier: Risk Statement: Change in Communication Infrastructure

4

Status: Specifications are being written to procure handheld devices and Commercial off-the-shelf application to meet CHP's future or anticipated communication infrastructure changes. At the same time, we will be utilizing open standards to be as flexible as possible to accommodate infrastructure changes.

General Comments

The FSR for this project was approved by the OCIO on January 10, 2009. After the approval was received by California Highway Patrol, solicitations for contract services were processed and the consultants for this project initiated work effective June 1, 2009. The project is currently in the planning/requirements gathering phase. The finish date for this phase is delayed by about eight months from the original date defined in the FSR as a result of the delay in the FSR approval process.

It is not anticipated that the final project finish date will change. The project team has reevaluated the timeline and has created concurrency with some of the requirements and planning tasks to bring the project into alignment with the completion date and within budget as defined in the approved FSR.



Risk Matrix

Instructions for completing this Risk Matrix are embedded as comments in the column headers. Refer to IT PMM Section 3.9.3 for further information.

SACS FSR Attachment F

Risk Number	Risk Event Title	Originator	Risk Owner	Assign To	Origination Date	Impact (H-M-L)	Probability (H-M-L)	Exposure (calc'd)	Time Frame (S-M-L)	Severity (calc'd)	Risk Event Description	Risk Context/Analysis (Triggers)	Risk Category	Risk Response Strategy	Mitigation / Prevention Plan	Contingency Plan	Risk Tracking	Cross-Ref to Chg Rqst	Comments	Status (Open/Closed)
1	Insufficient Infrastructure To Support Production	Siva Arani	Siva Arani	Eric Anderson	3/28/2008	High	Low	Medium	Long	Low	The infrastructure currently in place is unable to uphold the increased workload of the new system, resulting a slow performance or unacceptable down-time.	Infrastructure Deployment and testing	Design/Implementation	Mitigation	Ensure that infrastructure has sufficient capacity to handle the highest foreseeable workload. Secondary mitigation, tune the system design to ensure the most efficient processing capabilities.	Obtain more processors within the planned virtual environment.			The existing virtual environment should be sufficient to address expected workload. Workload estimates will be improved during requirements gathering in order to validate this assumption.	Open
2	Poor coordination with AOC e-Citation Project	Thom	Siva Arani	Bhavani Venukanthan	3/28/2008	High	Low	Medium	Long	Low	The AOC's project currently only deploys citations to four Southern California Counties which risks this project's ability to meet the objectives of the OTS Grant (TR-0810) within the timeframes specified in the grant.	Further collaboration with the AOC will determine the probability and timeframe of this risk event. The trigger for this event is the deployment of the CHP solution to officers.	External Environment	Mitigation	The CHP will engage is active and aggressive collaboration with the AOC to improve the likelihood that their solution will be ready to all California judicial jurisdictions.	Citations can continue to be sent via paper to the courts. The CHP will still achieve benefits from electronic transmission to the CED and MIS.			Regular status meetings with the AOC will be utilized as a communication method.	Open
3	Ambiguity of Requirements	Siva Arani	Siva Arani	Thom Pryor	3/28/2008	Low	Medium	Low	Medium	Low	The ambiguity in understanding of some of the enhancements planned for this project may cause requirements to be insufficiently detailed which would result in poor cost and schedule estimates.	JAD sessions will provide more detail concern this condition. Requirements analysis will be the primary trigger for this risk .	Requirements Mgmt	Mitigation	The team will utilize a broad cross-section of customer subject matter experts in order to gain the best possible understanding of the requirements and business rules.	Manage change to all baselines and submit SPR as necessary to respond to refined requirements.			This project will utilize the most experienced analysts available to ensure the best possible results during requirements development .	Open
6	Change in Communication Infrastructure	Siva Arani	Siva Arani	Ed Ross	3/28/2008	Low	Low	Low	Medium	Low	The creation of a state-wide wireless network for CHP field operations may result in new requirements and changes to system architectural design.	This infrastructure change is estimated to occur in late 2009. Should this be the case, the project will be able to incorporate this infrastructure into the final architectural design. If it occurs later in the project, the impact may be greater than initially identified.	Requirements Mgmt	Mitigation	Application architecture will utilize open standards so as to be as flexible as possible to accommodate infrastructure changes.	Manage change to all baselines and submit SPR as necessary to respond to refined requirements.				Open